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Application Number: 10/684899  
Filing Date: 10-09-2003  
First Named Inventor: Brent E. Little  
Application Title: Integrated Optical Mode Shape Transformer and Method of Fabrication

### **Information Disclosure Statement**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir/Madam:

Attached is a completed Form PTO/SB/08(A&B) and copies of the pertinent parts of the references cited thereon.

Very Respectfully,

Brent E. Little



PTO/SB/08a (08-03)

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Substitute for form 1449A/PTO

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

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of

**Complete if Known**

**Application Number**

181684899

1909103

**First Named Inventor**

## Art Unit

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Examiner Name \_\_\_\_\_

Attorney Docket Number 18-22

## U. S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	MM-DD-YYYY		
		PCT/US01/41142	01-17-2002		
		PCT/US03/10416	05-30-2003		

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				Application Number	10/684,899
				Filing Date	10/09/03
				First Named Inventor	Brent E. Little
				Art Unit	
				Examiner Name	
Sheet	/	of	/	Attorney Docket Number	LO-22

NON PATENT LITERATURE DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.				T <sup>2</sup>
PM		Y. SHANI, "Efficient coupling of a semiconductor laser to an optical fiber by means of a tapered waveguide on silicon", <i>Applied Physics Letters</i> , Vol. 55, No. 23, pp. 2389-2391, 1989				
		T. BRENNER et al, "Integrated optical mode-shape adapters in InGaAsP/InP for efficient fiber-to-waveguide coupling", <i>IEEE Photonics Tech. Lett.</i> , Vol 5, No. 9, pp. 1053-1056, 1993				
		R. ZENGELER et al, "Laterally tapered InP-InGaAsP waveguides for low loss chip-to-fiber butt-coupling: A comparison of different configurations", <i>IEEE Photonics Tech. Lett.</i> , Vol 7, No. 5, pp. 532-534, 1995				
		B. RATHMAN et al, "Improved laser-fiber coupling by using a spot-size transformer", <i>IEEE Photonics Technology Lett.</i> , Vol 8, No. 4, pp. 557-559, 1996				
		G. YAWTER et al, "Tapered rib adiabatic following fiber couplers in etched GaAs materials for monolithic spot size transformation", <i>IEEE J. Selected Topics Quantum Elect.</i> , Vol. 3, No. 6, pp. 1361-1371, 1997				
		I. MOERMAN et al, "A review on fabrication technologies for the monolithic integration of tapers with III-V semiconductor devices", <i>IEEE J. Selected Topics Quantum Elect.</i> , Vol. 3, No. 6, pp. 1308-1320, 1997				

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